UNITED STATES PATENT AND TRADEMARK OFFICE

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Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

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PTOL-90A (Rev. 04/07)

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE _3_ MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.
- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on _16 October 2007_.

2a)☒ This action is **FINAL**.   2b)☐ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) _7-16_ is/are pending in the application.

    4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) _7-16_ is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/ are: a)☐ accepted or b)☐ objected to by the Examiner.

    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a)☐ All   b)☐ Some * c)☐ None of:

      1.☐ Certified copies of the priority documents have been received.

      2.☐ Certified copies of the priority documents have been received in Application No. _____.

      3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

    * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1)☒ Notice of References Cited (PTO-892)

2)☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3)☐ Information Disclosure Statement(s) (PTO/SB/08) Paper No(s)/Mail Date _____.

4)☐ Interview Summary (PTO-413) Paper No(s)/Mail Date. _____ .

5)☐ Notice of Informal Patent Application

6)☐ Other: _____.

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DETAILED ACTION

Response to Amendment

1.   In the amendment filed 10/16/2007, the following has occurred: claims 1-6 have

been canceled. Claims 7-9 have been amended. Claims 10-16 are new. Now, claims 7-

16 are presented for examination.

Withdrawal of Rejection

2.   The Examiner withdraws the 35 U.S.C. § 101 rejections.

3.   The amendment filed 10/16/2007 is objected to under 35 U.S.C. 132(a) because

it introduces new matter into the disclosure. 35 U.S.C. 132(a) states that no

amendment shall introduce new matter into the disclosure of the invention. The added

material which is not supported by the original disclosure is as follows: In claim 16,

"when a cursor is positioned at an arbitrary point of the key-shaped tendency chart or

the candlestick-shaped tendency chart by using the input unit, a date and a stock price

are displayed"

Applicant is required to cancel the new matter in the reply to this Office Action.

4.   Claims 1- 6 (Canceled)

Claim Rejections - 35 USC § 102

(e) the invention was described in (1) an application for patent, published under section 122(b), by
another filed in the United States before the invention by the applicant for patent or (2) a patent

granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

5.   Claims 7- 14 are rejected under 35 U.S.C. 102(e) as being anticipated by Li US 6,907,404 B1.

As per claim 7 (Currently amended) Li US 6,907,404 B1 teaches ~~The stock trading support apparatus as claimed in any one of claim 1 to 6~~ A stock trading support apparatus to support stock trading, comprising:

a stock price analysis information creating section to create stock price analysis information by analyzing a stock price of each brand based on stock price information ("Still another object of the present invention is to provide a system having the above characteristics and which automatically analyzes investment charts to draw conclusions about investments." Li US 6,907,404 B1 col. 2 lines 60-63);

a promising brand information creating section to create promising brand information by judging whether the each brand is in a good time to buy or sell based on the stock price analysis information created by the stock price analysis information creating section ("Accordingly, it is an object of the present invention to provide an automated system for assisting investors in deciding whether to buy or sell investments, which automatically analyzes investments to determine if buy or sell indicators are present." Li US 6,907,404 B1 col. 2 lines 46-51); and

an output section to output stock information containing the stock price analysis information and the promising brand information, wherein the stock price analysis

information includes a candlestick-shaped tendency chart, the apparatus further comprising:

a line-drawing section to draw a downward trend line based on the candlestick-shaped tendency chart of a brand judged to be in a good time to buy, among brands in the promising brand information created by the promising brand information creating section ("A candle stick chart is a good presentation of an investment's momentum. On a candlestick chart, one can easily see the secession of up days, down days and sudden changes in the investment pattern. Thus, candlestick charts are desirable for viewing trend reversal patterns, as are shown in FIGS. 2A through 2D." Li US 6,907,404 B1 col. 5 lines 1-6);

a judging section to judge whether the brand is in a buy-turn, based on the downward trend line drawn by the line-drawing section and on candlestick-shaped tendency chart data at the good time to buy the brand judged to be in the good time to buy ("FIG. 2A shows a trend reversal pattern that is sometimes called a "First Sunny Day" pattern. As shown in investment chart 114, after a long, long decline, the investment price 116 suddenly goes up in significant magnitude. Furthermore, it closes much higher above its open." Li US 6,907,404 B1 col. 5 lines 6-11); and a buy-turn information notifying section to notify the user terminal of a judgment result given by the judging section, as buy-turn information ("This First Sunny Day pattern sends a short-term buy signal." Li US 6,907,404 B1 col. 5 lines 11-12).

As per claim 8 (Currently amended) Li US 6,907,404 B1 teaches ~~The stock trading~~

~~support apparatus as claimed in any one of claims 1 to 6~~ <u>A stock trading support apparatus to support stock trading, comprising:</u>

<u>a stock price analysis information creating section to create stock price of each brand based on stock price information</u> ("Still another object of the present invention is to provide a system having the above characteristics and which automatically analyzes investment charts to draw conclusions about investments." Li US 6,907,404 B1 col. 2 lines 60-63)<u>;</u>

<u>a promising brand information creating section to create promising brand information by judging whether the each brand is in a good time to buy or sell based on the stock price analysis information creating section</u> ("Accordingly, it is an object of the present invention to provide an automated system for assisting investors in deciding whether to buy or sell investments, which automatically analyzes investments to determine if buy or sell indicators are present."   Li US 6,907,404 B1 col. 2 lines 46-51)<u>; and an output section to output stock information containing the stock price analysis information and the promising brand information,</u> wherein the stock price analysis information includes a candlestick-shaped tendency chart, the apparatus further comprising:

a line-drawing section to draw a-an upward trend line based on the candlestick-shaped tendency chart of a brand judged to be in a good time to sell, among brands in the promising brand information created by the promising brand information creating section ("The converse trend reversal pattern, shown in FIG. 2B, is sometimes called a "Sudden Cloudy Day" pattern." Li US 6,907,404 B1 col. 5 lines 16-18);

a judging section to judge whether the brand is in a sell-turn, based on the upward trend line drawn by the line-drawing section and on candlestick-shaped tendency chart data at the good time to sell the brand judged to be in the good time to sell ("As illustrated in investment chart 118, after a long, long rise, the investment price 120 suddenly drops; its close is much lower than its open." Li US 6,907,404 B1 col. 5 lines 17-19); and

a sell-turn information notifying section to notify the user terminal of a judgment result given by the judging section, as sell-turn information ("This pattern hints that something has suddenly gone wrong with the investment, and indicates that one should sell the investment without delay." Li US 6,907,404 B1 col. 5 lines 19-23).

As per claim 9 (Currently amended) Li US 6,907,404 B1 teaches a stock trading support system where a stock trading support apparatus to support stock trading is connected to a user terminal through a communication network, wherein the stock trading support apparatus comprises:

a stock price analysis information creating section to create stock price analysis information by analyzing a stock price of each brand based on stock price information ("Still another object of the present invention is to provide a system having the above characteristics and which automatically analyzes investment charts to draw conclusions about investments." Li US 6,907,404 B1 col. 2 lines 60-63);

a promising brand information creating section to create promising brand information by judging whether the each brand is in a good time to buy or sell based on the stock price analysis information created by the stock price analysis information creating section

("Accordingly, it is an object of the present invention to provide an automated system for assisting investors in deciding whether to buy or sell investments, which automatically analyzes investments to determine if buy or sell indicators are present." Li US 6,907,404 B1 col. 2 lines 46-51);

a receiving section to receive from the user terminal a search criterion for searching for promising brand information ("Referring first to FIG. 11, the overall methodology by which investment chart pattern search software 14 operates is shown. As a preliminary matter, it should be noted that system 10 can be configured to check substantially any number of investments." Li US 6,907,404 B1 col. 8 lines 5-9) i.e., the investment number is a criterion,

and ("First, at 26, historical information is retrieved from historical information database 16, and real-time data is received from data stream 18. This information is used to determine if the particular investment being examined meets a predetermined liquidity threshold." Li US 6,907,404 B1 col. 8 lines 17-19) i.e., the predetermined liquidity is a criterion, And ("It should be noted, however, that the time interval between successive points on the investment chart may be varied. More specifically, and as illustrated on investment chart 29 of FIG. 12, the time intervals T between points on investment chart 29 may comprise days (as is typical of known charts), or may comprise intraday intervals, such as hours or minutes." Li US 6,907,404 B1 col. 8 lines 17-19) i.e., the time interval is a criterion;

a promising brand information search section to search for promising brand information relevant to the search criterion received by the receiving section ("If the investment

being examined meets the pre-screening criteria at 26, investment chart pattern search software 14 then uses historical information retrieved from historical information database 16 and real-time data received from data stream 18 to generate, at 28, an investment chart for the investment being examined." Li US 6,907,404 B1 col. 8 lines 31-36); and

a transmitting section to transmit to the user terminal the promising brand information retrieved by the promising brand information search section, and the user terminal comprises: an input section to input the search criterion ("Preferably, the system also includes software executing on the computer for, if it is determined that a pattern exists in the investment chart, generating and transmitting to a user an indication that a pattern has been found." Li US 6,907,404 B1 col. 3 lines 45-48);

a communication section to transmit, to the stock trading support apparatus, the search criterion inputted through the input section, and receive the promising brand information transmitted by the transmitting section ("Next, investment chart pattern search software 14 employs a geometric projection analysis, at 30, to determine whether certain patterns exist in the investment chart." Li US 6,907,404 B1 col. 8 lines 53-55);

and an output section to output the promising brand information received by the communication section, wherein the stock price analysis information includes a candlestick-shaped tendency chart, the apparatus further comprising:

a line-drawing section to draw a downward trend line based on the candlestick-shaped tendency chart of a brand judged to be in a good time to buy, among brands in the promising brand information created by the promising brand information creating section

("A candle stick chart is a good presentation of an investment's momentum. On a candlestick chart, one can easily see the secession of up days, down days and sudden changes in the investment pattern. Thus, candlestick charts are desirable for viewing trend reversal patterns, as are shown in FIGS. 2A through 2D." Li US 6,907,404 B1 col. 5 lines 1-6);

a judging section to judge whether the brand is in a buy-turn, based on the downward trend line drawn by the line-drawing section and on candlestick-shaped tendency chart data at the good time to buy the brand judged to be in the good time to buy ("FIG. 2A shows a trend reversal pattern that is sometimes called a "First Sunny Day" pattern. As shown in investment chart 114, after a long, long decline, the investment price 116 suddenly goes up in significant magnitude. Furthermore, it closes much higher above its open." Li US 6,907,404 B1 col. 5 lines 6-11); and

a buy-turn information notifying section to notify the user terminal of a judgment result given by the judging section, as buy-turn information ("This First Sunny Day pattern sends a short-term buy signal." Li US 6,907,404 B1 col. 5 lines 11-12)

As per claim 10 (New) Li US 6,907,404 B1 teaches a stock trading support system where a stock trading support apparatus to support stock trading is connected to a user terminal through a communication network, wherein the stock trading support apparatus comprises:

a stock price analysis information creating section to create stock price analysis information by analyzing a stock price of each brand based in stock price information

("Still another object of the present invention is to provide a system having the above

characteristics and which automatically analyzes investment charts to draw conclusions

about investments." Li US 6,907,404 B1 col. 2 lines 60-63);

a promising brand information creating section to create promising brand information by

judging whether the each brand is in a good time to buy or sell based on the stock price

analysis information created by the stock price analysis information creating section

("Accordingly, it is an object of the present invention to provide an automated system for

assisting investors in deciding whether to buy or sell investments, which automatically

analyzes investments to determine if buy or sell indicators are present." Li US

6,907,404 B1 col. 2 lines 46-51);

a receiving section to receive from the user terminal a search criterion for searching for

promising brand information ("Referring first to FIG. 11, the overall methodology by

which investment chart pattern search software 14 operates is shown. As a preliminary

matter, it should be noted that system 10 can be configured to check substantially any

number of investments." Li US 6,907,404 B1 col. 8 lines 5-9) i.e., the investment

number is a criterion,

and ("First, at 26, historical information is retrieved from historical information database

16, and real-time data is received from data stream 18. This information is used to

determine if the particular investment being examined meets a predetermined liquidity

threshold." Li US 6,907,404 B1 col. 8 lines 17-19) i.e., the predetermined liquidity is a

criterion, And ("It should be noted, however, that the time interval between successive

points on the investment chart may be varied. More specifically, and as illustrated on

investment chart 29 of FIG. 12, the time intervals T between points on investment chart

29 may comprise days (as is typical of known charts), or may comprise intraday

intervals, such as hours or minutes." Li US 6,907,404 B1 col. 8 lines 17-19) i.e., the time

interval is a criterion and ("If the correlation coefficient is above a threshold value, a

match is found. If the correlation coefficient is not above a threshold value, other

templates are retrieved and compared to the investment chart in a similar manner. As

various mathematical methods are known for determining a correlation coefficient

between two graphs, such a process is not described herein in detail. It should be noted

however, that setting the threshold value for the correlation coefficient at 0.9 has

produced acceptable results. Li US 6,907,404 B1 col. 9 lines 38-45) i.e., the time

correlation coefficient threshold value is a criterion;

a promising brand information search section to search for promising brand information

relevant to the search criterion received by the receiving section ("First, at 26, historical

information is retrieved from historical information database 16, and real-time data is

received from data stream 18. This information is used to determine if the particular

investment being examined meets a predetermined liquidity threshold." Li US

6,907,404 B1 col. 8 lines 16-21; and

a transmitting section to transmit to the user terminal the promising brand information

retrieved by the promising brand information search section, and the user terminal

comprises: an input section to input the search criterion ("Preferably, the system also

includes software executing on the computer for, if it is determined that a pattern exists

in the investment chart, generating and transmitting to a user an indication that a pattern

has been found." Li US 6,907,404 B1 col. 3 lines 45-48); a communication section to transmit, to the stock trading support apparatus, the search criterion inputted through the input section, and receive the promising brand information transmitted by the transmitting section, and an output section to output the promising brand information received by the communication section, wherein the stock price analysis information includes a candlestick-shaped tendency chart, the apparatus further comprising:

a line-drawing section to draw an upward trend line based on the candlestick-shaped tendency chart of a brand judged to be in a good time to sell, among brands in the promising brand information created by the promising brand information creating section;

a judging section to judge whether the brand is in a sell-turn, based on the upward trend line drawn by the line-drawing section and on candlestick-shaped tendency chart data at the good time to sell the brand judged to be in the good time to sell; and a sell-turn information notifying section to notify the user terminal of a judgment result given by judging section, as sell-turn information. ("A candle stick chart is a good presentation of an investment's momentum. On a candlestick chart, one can easily see the secession of up days, down days and sudden changes in the investment pattern. Thus, candlestick charts are desirable for viewing trend reversal patterns, as are shown in FIGS. 2A through 2D. FIG. 2A shows a trend reversal pattern that is sometimes called a "First Sunny Day" pattern. As shown in investment chart 114, after a long, long decline, the investment price 116 suddenly goes up in significant magnitude. Furthermore, it closes much higher above its open. This First Sunny Day pattern sends a short-term buy

signal. The trading strategy for a First Sunny Day pattern is to buy the investment and hold until it recovers the range lost by the recent secession of down days, or to cut losses if it drops back to the prior day's low. This pattern usually signals a very good profit-risk ratio. The converse trend reversal pattern, shown in FIG. 2B, is sometimes called a "Sudden Cloudy Day" pattern. As illustrated in investment chart 118, after a long, long rise, the investment price 120 suddenly drops; its close is much lower than its open. This pattern hints that something has suddenly gone wrong with the investment, and indicates that one should sell the investment without delay." Li US 6,907,404 B1 col. 5 lines 1-23)

As per claim 11 (New) Li US 6,907,404 B1 teaches a stock trading support apparatus as claimed in claim 7 or 8, which is connectable to a user terminal through a communication network, and further comprises a stock information transmitting section to transmit the stock information to the user terminal device ("Preferably, the system also includes software executing on the computer for, if it is determined that a pattern exists in the investment chart, generating and transmitting to a user an indication that a pattern has been found." Li US 6,907,404 B1 col. 3 lines 45-48).

As per claim 12 (New) Li US 6,907,404 B1 teaches a The stock trading support apparatus as claimed in claim 11, further comprising:
a receiving section to receive from the user terminal a search criterion for searching for promising brand information ("If the investment being examined meets the pre-

screening criteria at 26, investment chart pattern search software 14 then uses historical

information retrieved from historical information database 16 and real-time data

received from data stream 18 to generate, at 28, an investment chart for the investment

being examined." Li US 6,907,404 B1 col. 8 lines 31-36);

a promising brand information search section to search for promising brand information

relevant to the search criterion received by the receiving section ("If the investment

being examined meets the pre-screening criteria at 26, investment chart pattern search

software 14 then uses historical information retrieved from historical information

database 16 and real-time data received from data stream 18 to generate, at 28, an

investment chart for the investment being examined." Li US 6,907,404 B1 col. 8 lines

31-36); and

a transmitting section to transmit to the user terminal the promising brand information

retrieved by the promising brand information search section ("Preferably, the system

also includes software executing on the computer for, if it is determined that a pattern

exists in the investment chart, generating and transmitting to a user an indication that a

pattern has been found." Li US 6,907,404 B1 col. 3 lines 45-48).

As per claim 13 (New) Li US 6,907,404 B1 teaches a stock trading support apparatus

as claimed in claim 12, wherein the search criterion includes at least one of a stock

type, a buy-timing or a sell-timing of a brand, a price bracket, a peak price zone or a

bottom price zone of a stock price, a high price zone or a low price zone of a stock

price, and a ("Referring first to FIG. 11, the overall methodology by which investment

chart pattern search software 14 operates is shown. As a preliminary matter, it should be noted that system 10 can be configured to check substantially any number of investments." Li US 6,907,404 B1 col. 8 lines 5-9) i.e., the investment number is a criterion,

and ("First, at 26, historical information is retrieved from historical information database 16, and real-time data is received from data stream 18. This information is used to determine if the particular investment being examined meets a predetermined liquidity threshold." Li US 6,907,404 B1 col. 8 lines 17-19) i.e., the predetermined liquidity is a criterion, And ("It should be noted, however, that the time interval between successive points on the investment chart may be varied. More specifically, and as illustrated on investment chart 29 of FIG. 12, the time intervals T between points on investment chart 29 may comprise days (as is typical of known charts), or may comprise intraday intervals, such as hours or minutes." Li US 6,907,404 B1 col. 8 lines 17-19) i.e., the time interval is a criterion and ("If the correlation coefficient is above a threshold value, a match is found. If the correlation coefficient is not above a threshold value, other templates are retrieved and compared to the investment chart in a similar manner. As various mathematical methods are known for determining a correlation coefficient between two graphs, such a process is not described herein in detail. It should be noted however, that setting the threshold value for the correlation coefficient at 0.9 has produced acceptable results. Li US 6,907,404 B1 col. 9 lines 38-45) i.e., the time correlation coefficient threshold value is a criterion;

As per claim 14 (New) Li US 6,907,404 B1 teaches a stock trading support apparatus as claimed in claim 11, further comprising:

a registration section to register a search criterion for searching for promising brand information, which is transmitted from the user terminal ("System 10 also includes a historical information database 16 accessible by computer 12 having stored thereon historical information relating to a plurality of financial investments. This historical information may comprise numerous types of information, but at a minimum includes information relating to past prices of the investments and past trading volumes of the financial investments. Historical information database 16 may comprise a part of computer 12, or may be remotely located and maintained. Li US 6,907,404 B1 col. 7 lines 43-52);

a search section to periodically search whether there is promising brand information relevant to the search criterion registered by the registration section ("In addition, computer 12 is in communication with a real-time data stream 18 which supplies continually updating real-time information relating to a plurality of financial investments." Li US 6,907,404 B1 col. 7 lines 53-56); and

a notifying section to notify, when promising brand information relevant to the search criterion is retrieved by the search section, the retrieved promising brand information to the user terminal ("Preferably, the system also includes software executing on the computer for, if it is determined that a pattern exists in the investment chart, generating

and transmitting to a user an indication that a pattern has been found." Li US 6,907,404

B1 col. 3 lines 45-48)

Claim Rejections - 35 USC § 103

6.   The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all

obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

7.   Claims 15 and 16 are rejected under 35 U.S.C. 103(a) as being unpatentable

over Li US 6,907,404 B1 in view of Long US 2004/00030623

As per claim 15 (New), Li US 6,907,404 B1 shows the stock trading support apparatus

as claimed in claim 7 or 8, wherein the stock price analysis information

Li US 6,907,404 B1 fails to teach the inclusion of a key-shaped tendency chart.

Long US 2004/00030623 teaches "Another system for charting price movement without

regard to time involves Kagi charts which display a series of connecting vertical lines

where the direction and thickness of the lines are dependent on price action. Lines

within Kagi charts change from thick to thin when the price decreases or from thin to

thick when the price increases." (Long US 2004/00030623 paragraph [0008]

It would have been obvious to one of ordinary skill in the art at the time of the invention

to modify the invention of Li US 6,907,404 B1 to include computer generated kagi graph

analysis of Long US 2004/00030623 in order to "for charting price movement without

regard to time" (Long US 2004/00030623 paragraph [0008]

As per claim 16 (New), Li US 6,907,404 B1 in view of Nison shows the stock trading

support apparatus as claimed in claim 15.

Li US 6,907,404 B1 in view of Long US 2004/00030623 fails to explicitly show operation

by an input unit of the user terminal, the trend line necessary for selecting a brand is

drawn on the chart, and when a cursor is positioned at an arbitrary part of the key-

shaped tendency chart or the candlestick-shaped tendency chart by using the input unit,

a date and a stock price are displayed.

Osga (US 5,757,358) teaches "As previously discussed, the selection aid of the

invention reduces required cursor travel distance to a cursor target by increasing the

effective cursor target selection area when possible. This is done without enlarging the

displayed size of either the symbology or the cursor. The selection aid of the invention is

accomplished through the constant computation of a "selectable" object, which is the

computer-displayed object lying closest to the cursor position on a computer-display.

The invention identifies t he "selectable" object by providing a visual indication to the

user before a selection action is made." (Osga US 5,757,358 col. 4 lines 3-14)

It would have been obvious to one of ordinary skill in the art at the time of the invention

to modify the invention of Li US 6,907,404 B1 in view of Nison to include a cursor

activated display screen for the purpose of "improved speed of symbol selection for both

relatively low and relatively high symbol densities and improved symbol selection

accuracy under low-density symbol conditions" (Osga US 5,757,358 col. 6 lines 54-57)

Responses to Argument

8.   The applicant's arguments with respect to claims 1, 2, 4, 5, 11, 14 & 15 have

been considered but are moot in view of the new ground(s) of rejection.

Conclusion

9.   **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time

policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE

MONTHS from the mailing date of this action. In the event a first reply is filed within

TWO MONTHS of the mailing date of this final action and the advisory action is not

mailed until after the end of the THREE-MONTH shortened statutory period, then the

shortened statutory period will expire on the date the advisory action is mailed, and any

extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of

the advisory action. In no event, however, will the statutory period for reply expire later

than SIX MONTHS from the mailing date of this final action.

10.   The prior art made of record and not relied upon is considered pertinent to

applicant's disclosure:

The following stock trading references all refer to Japanese candlestick charts:

Defario (US Pub. 2002/0004774) shows a data analysis system to allow traders of equities and other financial instruments to keep track of their trading history and to display a trade profile of their trading behavior. Trade results are analyzed by correlating trade transactions records with concurrent market conditions, categorizing the conditions, and appending condition data to the trade transaction record. The results are then displayed to the trader in the form of pivot tables and graphs. Users can access the data analysis system over a global information network, i.e. the Internet, or for a more secure environment, the data analysis system can also reside on a local area network (LAN) or intranet. In addition to collecting trade results for individual traders, data is aggregated based on the trader's organization so management of the firm can determine what strategies offer the best profitability or chance of success for most of the firm's traders.

Maruoka (US 5,544,281) shows a method of supporting decision-making for predicting future time-series data by using measured values of time-series data stored in a storage and information stored in a knowledge base. The information is related to interpretation and prediction of the time-series data. A plurality of time-series data stored in the storage device is prepared in an order of time-serial points corresponding to the time-series data. Information which includes reference to the time-series data using a relative time interval from the time-series data is stored to the knowledge base. First the time-

serial points of the time-series data is designated. Thereafter, the relative time interval in the knowledge is subtracting from the designated time-serial point to determine the time-serial point corresponding to the time-series data, and the future time-series data is inferred by using the knowledge and the time-series data.

Mezel (US 6,070,175) shows a method of enhancing a commercial document processing method, especially FrameMaker®, by adding additional functions in the areas of two-way database publishing, charting, collaborative editing, increasing productivity, utilizing computer-to-computer communication, processing graphics, processing tables, reporting, and filtering.

Blanchard (20020040336 A1) shows a system and method for analyzing the characteristics of sub-time periods of a time period over which a change of trend of a price evolution of a plurality of stock options occurs. The system comprises means for storing data representative of the price evolution of the plurality of stock options and means for aggregating the data associated with each stock option and for creating for each stock option a standard description of the stock option's price for each sub-time period. Each standard description generated is converted into a candlestick pattern being chosen among a predetermined typology of a plurality of candlestick patterns. For each stock option, each standard description of a current sub-time period is also compared to the standard description of a previous sub-time period, and a comparison code chosen among a predetermined typology of a plurality of comparison codes is

allocated to each comparison. The system further comprises means for marking each sub-time period of each stock option with a trend indicator using each standard description. The output of the converting means, the output of the comparing means and the output of the marking means are merged within merging means to generate a set of characteristics of the sub-time periods for the plurality of stock options.

Jones, C. III   (2002/0120551 A1) shows a visual-kinesthetic system for financial trading. The system includes a computer with at least one screen that has both input and output capabilities, graphical software controllable by input to the computer that follows and plots the movement of financial information in a market to the input/output screen, and trading software controllable by the computer and by input from the screen that functionally communicates with the graphical software so that interaction with graphical information on the screen can control the trading software.

Churquina (2003/0139989 A1) shows a method and system for providing trading volume information of selected market traded instruments compiling aggregated volume of transactions executed within each pre-selected price bracket for each pre-selected discrete time interval. The data is displayed using price-volume bars incorporated into a price-volume chart. In this manner traders can compare the relative volume of transactions occurred at substantially narrow price brackets for each discrete time interval.

Kagi graphs are discussed in the following:

Nison, Steve, Beyond Candlesticks: New Japanese Charting Techniques Revealed John Wiley & Sons. New York, NY (1994). The METASTOCK software from Equis® International (advertised in Nison) "plots the new charting methods shown in this book: Kagi, Renko and Three-Line Break".

Hilow Chart V9.02E software technical charts for stock market analysis performs analysis for more than 30 charts integrated in Hilow Chart including candle charts, moving average charts and Kagi graphs.

http://www.jpstec.com/hilow_Eng/Adv_hilow.htm

The website [Wikipedia, Kagi chart-http://en.wikipedia.org/wiki/Kagi_chart] discuses Kagi graphs and their applications in technical analysis.

11. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Gerald C. Vizvary whose telephone number is 571-270-3268. The examiner can normally be reached on Monday thru Friday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Tom Dixon can be reached on 571-272-6803. The fax phone number for the organization where this application or proceeding is assigned is 571-270-4268.
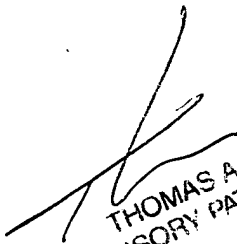
Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

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